

U.S. Department
of Transportation

United States
Coast Guard



Commandant
United States Coast Guard

2100 Second Street, S.W.
Washington, DC 20593-0001
Staff Symbol: G-SIA
Phone: (202) 267-1307
Fax: (202) 267-1384

COMDTINST 5230.55A
MAY 11 1999

COMMANDANT INSTRUCTION 5230.55A

Subj: ACQUIRING MICROCOMPUTER RESOURCES

Ref: (a) Standard Workstation III Configuration Management Policy, COMDTINST 5200.16

1. PURPOSE. This Directive establishes policy and procedures for the acquisition of Coast Guard workstation hardware, software and peripheral equipment.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel, and special staff offices at Headquarters shall ensure compliance with the provisions in this Directive.
3. DIRECTIVES AFFECTED. COMDTINST 5230.55 is cancelled.
4. BACKGROUND. Headquarters promulgated the original microcomputer acquisition policy and the microcomputer allowance list in 1994 as a move to better manage the Coast Guard's vast microcomputer inventory. As the world transitions into the Information Age, more and more businesses rely on Information Technology (IT) to remain competitive. The Coast Guard is no different and must acquire the right microcomputer resources within our budget to perform our business as effectively and efficiently as possible.

The policy described in this Directive continues the philosophy of controlling microcomputer acquisitions, but decentralizes the approval authority to those local personnel who are responsible for supporting the computing and telecommunications needs of Coast Guard units. Units and their IT support organizations must use sound business decision-making when evaluating individual unit IT requests that are submitted through a uniform process. Support personnel must balance

end-users requirements and desires against adhering to standards and managing the introduction of new technology.

5. DISCUSSION. The intent of this Directive is to delegate the acquisition of IT resources to each Local Configuration Control Board (LCCB), as identified in reference (a). This Directive provides policy concerning the acquisition of standard workstation hardware and software, nonstandard hardware and software for use on standard workstations or Local Area Networks (LANs), and other nonstandard microcomputer hardware and software. This Directive does not eliminate the requirement to comply with current IT policy concerning large or cross-functional IT systems development or IT acquisitions. For purposes of this Directive, the term "unit" includes HQ Offices and Directorates.
6. POLICY. LCCBs shall require those units desiring additional IT resources to submit business cases justifying additional workstations, servers, peripherals or software. LCCBs shall maintain sufficient documentation to support decisions they make under this Directive.
 - a. Except where otherwise noted, this Directive does not apply to initiatives that meet any one of the following criteria.
 - (1) Scope and thresholds of initiative are covered by reference (a).
 - (2) Initiative has a life-cycle cost over \$50,000.
 - (3) Initiative is cross-programmatic, that is, it involves more than one HQ Directorate or mission area of the Coast Guard.
 - b. For any initiative subject to (2) or (3) above, use current IT policy concerning large or cross-programmatic IT initiatives.
 - c. This Directive does not address acquiring Local Area Network (LAN) or Wide Area Network (WAN) equipment, LAN/WAN software or services. Commandant (G-SCT) provides guidance for WANs and Commandant (G-SCC) provides guidance for SWIII and CGSWII LANs.
 - d. This Directive complements other Directives and policy guidance related to Coast Guard computing infrastructure. If there appears to be a conflict with other policy, contact Commandant (G-SIA) for guidance. For example, security policy prohibits connecting a workstation with a modem to the CGDN+. This Directive does not change that policy --it only makes the acquisition of a modem more expedient.

- e. The authority to make local approvals, consistent with this Directive, is delegated to the LCCBs. Requesting and approving units must not split requirements to remain below any threshold in this Directive.
- f. Details of the delegated authority are contained in enclosure (1).

7. PROCESSES.

- a. Routing of requests is contained in enclosure (2).
- b. LCCBs may prescribe the format of requests to be submitted to them. In the absence of another allowable format or when the request must be submitted to Commandant (G-SCC) or Commandant (G-SIA), the requests shall be in the form of a completed Engineering Change Proposal (ECP) and System Lifecycle Cost (SLC) Worksheet, found in reference (a), and should be submitted together. In addition, the following supplemental information should be provided.
 - (1) If the request involves Standard Workstation III (SWIII) contract items:
 - (a) a shipping address or addresses. No PO boxes or APO/FPO addresses can be used,
 - (b) OPFAC of the unit(s) involved,
 - (c) POC name(s) and phone number(s), and
 - (d) a list of the SWIII Contract Line Item Numbers (CLINs) to be purchased, the quantities and estimated total cost.
 - (2) If the request involves a Microcomputer Allowance List (MAL) change, specify, for each unit affected, whether the change is an increase or decrease and by how many workstations.
- c. For any approved request that contains SWIII contract items, the requesting unit is responsible for transferring the appropriate amount of funds to the Standard Workstation Central Fund. Commandant (G-SCC) will execute a SWIII order only upon receipt of the required funds.
- d. Should a unit request and obtain additional Coast Guard Standard Workstation II (CGSWII) workstations from TISCOM (ISD) in accordance with paragraph 2. of enclosure (1), and later desire to have them migrated to SWIII workstations, the unit must submit

COMDTINST 5230.55A
MAY 11 1999

a request to acquire replacement workstations using the procedures described in this Directive.

- e. Requests with system lifecycle costs over \$50,000 shall be reviewed by a LCCB, but cannot be approved by the LCCB. Those requests, including an endorsement by the LCCB, shall be forwarded by the LCCB to Commandant (G-SIA).
 - f. Within 20 working days after the end of each quarter, each LCCB shall electronically inform Commandant (G-SIA) of all additional workstations they have approved and any workstations that have been transferred between units. Negative replies are not required. Email is the preferred medium and the submissions may be freeform. This information will assist in maintaining the MAL, the Common Operating Environment (COE), the TISCOM Knowledge Base, and allow HQ to identify trends or areas for further study.
8. FORMS/REPORTS. Report Control Number (RCN) 5230-6 applies to the freeform report described in 7.f.

/s/ G. N. NACCARA
Director of Information and Technology

Encl: (1) Detailed Policy Guidance
(2) Routing of IT Requests

Detailed Policy Guidance

1. SWIII Contract Hardware or Software. The SWIII Migration Management Plan (MMP) addresses resource requirements, support, and hardware and software transitions from CGSWII to SWIII. This section addresses acquiring SWIII items in excess of the unit's current workstation allowance.

Units may request additional standard workstations beyond what they will receive or have received during migration. Commandant (G-SIA) is the final approval authority for additional standard workstations. This authority is delegated to the LCCBs for the scenarios, paragraphs a. through e., listed below. Once new requirements are approved, requesting units or their program managers shall fund the cost associated with the workstations, such as the workstations themselves, peripherals, software and additional cabling, and transfer funds to the Standard Workstation Central Fund. Requesting units may have to fund recurring costs for support, since the additional workstations were not included in the budgeting for standard workstation support.

- a. Unit receives new/transferred billets that require workstations. The IT support units affected by the transfer should coordinate with transferring units to obtain previously installed desktops and peripheral devices and coordinate with the funding organization to determine costs and initiate fund transfers.
- b. Unit receives contractors, contractor support, or Other Government Agency (OGA) personnel who require SWIII workstations. In this case, the workstations are to be returned to the ESU or program manager when the personnel are no longer required.
- c. Unit has standard workstations that it requires to upgrade to more capable workstations, or desires to change a standard desktop to a standard dockable workstation or vice versa, or desires to make a standard portable workstation into a standard dockable workstation. Requests shall be based on demonstrated business needs. Units shall return replaced workstations to an ESU or program manager for reprogramming. The approving LCCB will notify Commandant (G-SCC) of the type and quantity of workstations being replaced for possible re-distribution. The replaced workstations, while unused, will not be counted as part of the MAL for the ESU or program manager. The ESU or program manager shall notify Commandant (G-SIA) when any of these workstations are put back in use.
- d. Unit wishes to replace lost or stolen SWIII hardware or software.
- e. Unit wishes to repair an older standard or nonstandard workstation by replacing it with a standard workstation. Requests shall be based on demonstrated business needs.

Enclosure (1) to COMDTINST 5230.55A

2. CGSWII Hardware or Software. TISCOM (ISD) is the distribution approval point for CGSWII workstations. Since the number of workstations a unit will receive during migration was determined by the November 1997 data call from Commandant (G-SIA), these additional CGSWII workstations will not be migrated. Should a unit desire to have additional approved CGSWII workstations migrated to SWIII workstations, the unit or its program manager must submit a request for additional workstations in accordance with this Directive and will be responsible for funding all aspects of the early migration, including such costs as:
 - a. hardware and software procurements,
 - b. procurement of necessary cabling materials,
 - c. installation of LAN cabling infrastructure in accordance with SWIII cabling standards,
 - d. end-user training costs,
 - e. any additional support unit costs incurred by ESUs and other IT support organizations while assisting in the advanced migration, and
 - f. the full cost of WAN access.
3. Nonstandard Hardware or Software. Nonstandard hardware and software is defined as any item that is not a CGSWII or is not available on the SWIII contract or that differs in configuration or operating system from the authorized SWIII. Nonstandard hardware or software will only be approved if SWIII contract items are incapable of supporting business requirements. Personal preference, cost or missing a cut-off date for ordering SWIII contract items, are not, by themselves, valid reasons for procuring nonstandard hardware or software. LCCBs should refer to the COE documentation to assist requesting units in finalizing a configuration. No unit shall seek support from any ESU, MLC (t), TISCOM, or Regional Systems Manager (RSM) for any nonstandard items, unless a support agreement has been reached. An agreement may require the payment of recurring funds for support. The MAL for units receiving approved nonstandard workstations will be increased by Commandant (G-SIA). Commandant (G-SIA) is the final approval authority for all initial requests to procure nonstandard hardware and that hardware's initial software suite, and for nonstandard hardware and software situations not explicitly covered in this Directive. The LCCBs are the final approval authorities for follow-on nonstandard hardware or software for the following scenarios.
 - a. Unit desires to acquire peripherals and software for any nonstandard workstations, provided the system life-cycle costs do not exceed \$50,000. The LCCBs shall first determine if that

hardware or software (or similar application) is installed elsewhere. Commandant (G-SIA) will post nonstandard hardware and software procurement information on their Intranet web site (<http://cgweb.uscg.mil/g-s/g-si/g-sia/> then select "Computer Waivers") until TISCOM develops their Knowledge Base. The intent of the query is to minimize the number of different brands of hardware and software that units purchase to solve similar business needs. If the Commandant (G-SIA) web site or TISCOM Knowledge Base indicates a solution meeting the business requirements, that solution shall be used. For efficiency, individual unit approvals may be aggregated into purchases that exceed \$50,000.

- b. Unit wishes to repair an older nonstandard workstation by replacing it with another nonstandard workstation. Requests shall be based on demonstrated business need for a nonstandard solution and justification why a standard workstation is unsuitable.
 - c. Unit desires to replace lost/stolen nonstandard workstations, peripherals or software.
 - d. Unit desires to procure information technology resources to perform a traditionally non-IT function. Examples: computer to record periodic engine status and performance, computer to determine fatigue levels of personnel, security card readers.
 - e. Unit desires to lease workstations. The lease should be for a period not to exceed six months and the number of workstations that any unit may have on lease at any time shall not exceed 5% of their total MAL, rounded up to the next whole number. If the LCCB conceptually approves an IT lease, the LCCB shall forward the approval to the contracting officer for execution. Leasing will require a strong business case, usually a result of a surge in business operations. Leasing is not to be used as a routine way of increasing or replacing a unit's workstation complement.
4. Persons with Disabilities. For persons with disabilities requiring specialized equipment or software, the LCCB may approve any necessary acquisitions, including nonstandard workstations. However, if costs are expected to exceed \$15,000, Commandant (G-SIA) is the final approval authority.
5. Exemptions.
- a. Consumable supplies (e.g., toner, ink cartridges, diskettes) are exempt from the provisions of this Directive and may be procured by units to satisfy business needs.
 - b. Local funds may be used to procure microcomputer accessories for existing nonstandard workstations without additional approval. Examples: Random Access Memory (RAM), cables, wire, bolt-down hardware and power supplies. Printers, CD-ROM drives and scanners

Enclosure (1) to COMDTINST 5230.55A

are considered peripherals and fall within sections 1., 3. or 4. of this enclosure. The cost of any single accessory must not exceed \$1,000.00 and the total procurement must not exceed \$5,000.00. No unit shall seek support from its ESU, the MLC (t), TISCOM or RSM for any exempt items without a mutual agreement.

- c. Workstations, peripherals or software that are purchased with non-appropriated funds do not require LCCB or Commandant (G-SIA) approval. However, no unit shall seek support from its ESU, the MLC (t), TISCOM or RSM for any items procured with non-appropriated funds.
- d. Handheld computers (for example, 3Com's Palm Pilot) do not require LCCB approval. However, the use of software (to facilitate the exchange of information between the handheld and a workstation) on workstations supported by a unit other than the requester will require an approved request, submitted in accordance with this Directive, before installation. The term "handheld computer" does not include subnotebook-size or lightweight portable workstations.
- e. Units that have normal business requirements above the \$50,000 threshold, such as Coast Guard data centers, may ask for special exemptions from Commandant (G-SIA).
- f. For efficiency, individual requests approved by LCCBs may be aggregated into purchases that exceed \$50,000.

Routing of IT Requests

1. For all field units, requests shall be submitted to the unit that provides IT support. It is the responsibility of that IT support unit to take the actions required by this Directive and all other applicable Directives. The rest of this enclosure contains routing details.
2. Any requests that must be forwarded to Commandant (G-SIA) shall be done so via email, whenever possible, to "GSIA_Waiver@comdt.uscg.mil".
3. HQ Offices and Directorates and HSC shall submit their requests using the following rules.
 - a. Requests for IT resources to be deployed only within the Area of Responsibility (AOR) of HSC shall be submitted to HSC. If HSC does not have the authority to approve or disapprove the request, HSC shall forward the request, with their recommendation, to Commandant (G-SIA).
 - b. Requests for IT resources to be deployed outside of the HSC AOR shall be submitted for review to each LCCB affected by the request, via the IT support staff of the requesting Directorate. After receiving responses from the LCCBs, the request shall be submitted to Commandant (G-SIA).
4. HQ units that have LCCBs shall submit their requests using the following rules.
 - a. Requests for IT resources to be deployed only within their AOR shall be submitted to their LCCB. If that LCCB does not have the authority to approve or disapprove the request, the LCCB shall forward the request, with their recommendation, to Commandant (G-SIA).
 - b. Requests for IT resources to be deployed outside the AOR of the LCCB shall be submitted for review to each LCCB affected by the request. After receiving responses from the other LCCBs, the request shall be submitted to Commandant (G-SIA).

Enclosure (1) to COMDTINST 5230.55A

5. HQ units that do not have LCCBs shall submit their requests using the following rules.
 - a. If the HQ unit receives its IT support from an ESU, requests for IT resources shall be submitted to the LCCB at that ESU. If the LCCB is not delegated the authority to approve or disapprove the request, the LCCB shall forward the request, with their recommendation, to Commandant (G-SIA).
 - b. If the HQ unit receives its IT support from another HQ unit, requests for IT resources shall be submitted to the LCCB at that HQ unit. If the LCCB is not delegated the authority to approve or disapprove the request, it shall forward the request, with its recommendation, to Commandant (G-SIA).
6. Areas and MLCs shall submit their requests to the LCCB of the MLC. If the LCCB is not delegated the authority to approve or disapprove the request, it shall forward the request, with its recommendation, to Commandant (G-SIA).
7. All other units not covered by the rules above shall submit their requests using the following rules.
 - a. Requests for IT resources to be deployed within the AOR of their ESU shall be submitted to the LCCB of their ESU. If the LCCB is not authorized to approve or disapprove the request, it shall forward the request with its recommendations to Commandant (G-SIA).
 - b. Requests for IT resources to be deployed within the AOR of their MLC, but where deployment includes units outside the AOR of their ESU, shall be submitted, to the LCCB of the MLC. If the LCCB is not delegated the authority to approve or disapprove the request, it shall forward the request, with its recommendation, to Commandant (G-SIA).
 - c. Requests for IT resources to be deployed outside the AOR of any one MLC shall be submitted, via the LCCB of the requester's ESU and the LCCB of the MLC, to Commandant (G-SIA). COMDTINST 5230.55A